

U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES
WASHINGTON, D.C. 20202-2575

**FY 2003 APPLICATION KIT FOR NEW GRANTS
UNDER**

**THE NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH
ALTERNATIVE FINANCING MECHANISMS PROGRAM (AFP)
CFDA NUMBER: 84.224C**



FORM APPROVED
OMB No. 1820-0634, EXP. DATE 11/30/2003
ED FORM 424, 11/30/2004

DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE: September 4, 2003

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DATE: 5 August 2003

Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2003 for the Alternative Financing Mechanisms Program (AFP) (CFDA: 84.224C) under the National Institute on Disability and Rehabilitation Research (NIDRR). Authorized under title III of the Assistive Technology Act of 1998 (AT Act), the AFP program is administered by NIDRR.

In order to provide applicants with a 30-day application period and to ensure that these grants are awarded before the end of FY 2003, NIDRR is inviting applications based on the proposed priorities, published in the Federal Register on August 5, 2003. NIDRR will publish the final priority as soon as possible after the comment period closes on September 4, 2003. Depending upon the comments that NIDRR receives, the final priority may include revisions to the proposed priority. It is generally the policy of the Department of Education not to solicit applications before the publication of the final priority. However, in this case, it is essential to solicit applications on the basis of the proposed priority in order to allow applicants sufficient time to prepare applications of appropriate quality. Applicants are advised to begin developing their applications based on the proposed priority. If changes are made in the final priority, applicants will be given a chance to revise or resubmit their applications.

ELIGIBLE APPLICANTS FOR AN AFP GRANT: States that receive or have received grants under section 101 of the AT Act are eligible for an AFP grant. Under section 3(a)(13)(A) of the AT Act, State means each of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

APPLICATION PROCEDURES

You are advised to use both the individual Proposed Priority and the Notice Inviting Application published in the Federal Register on August 5, 2003 and the Application Package (available on www.ed.gov/GrantApps) to complete the grant application. See Section D for application requirements.

The application package includes guidance and the required forms for potential applicants to apply and be considered for a FY 2003 grant award under this competition, including both the published Proposed Priority and the Notice Inviting Applications.

Section B of the application package, Application Requirements for an AFP grant, identifies the substantive information and assurances that must be included in your application.

Information about the Notice of Final Priorities, that will be published in the Federal Register, will be posted on NIDRR's homepage (www.ed.gov/offices/OSERS/NIDRR).

Applicants are advised to read all of the materials carefully, particularly the information on the types of organizations that are eligible to apply for this grant; matching fund information, and how to prepare an application.

The instructions indicate that you will submit your application in paper to the Department either mail (postmarked) or hand-deliver it or submit it by carrier service, on or before the application deadline date, to the following address: U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.224C and the topic name, 7th & D Streets, S.W., Room 3671, Regional Office Building #3, Washington, DC 20202-4725. You are required to submit an original and two copies of your application. NIDRR would appreciate your including eight additional copies of your paper application to facilitate the review process (one original and ten copies in all). Also, we would like to suggest that the original copy of the application be secured with a binder clip in order to facilitate any additional copying that might be required.

The closing date (application deadline) is **September 4, 2003**.

PROGRAM RULES

These grants are subject to (a) the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR part 74, 75, 77, 80, 81, 82, 85, 86, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs and (b) the program regulations 34 CFR part 350.

TECHNICAL ASSISTANCE

If you have any questions about the information in this application packet, please contact Carol Cohen either by e-mail at Carol.Cohen@ed.gov or by telephone at (202) 205-5666. Individuals who use a telecommunications device (**TDD**) may call the Federal Information Relay Service (**FIRS**) at 1-800-877-8339 between 8:00 a.m. and 4:00 p.m., EST, Monday through Friday. Please review the Frequently Asked Questions and Points to Remember in Application Preparation (Section E).

NOTE: Please forward this entire application packet to the individual or office responsible for preparing a application as they will need the entire packet to complete the grant application.

Thank you for your interest in this program.

Sincerely,

//signed//

Steven James Tingus, M.S., C.Phil.
Director,
National Institute on Disability
and Rehabilitation Research

SECTION B

Proposed Priority Notice

4000-01-U

DEPARTMENT OF EDUCATION

National Institute on Disability and Rehabilitation Research

AGENCY: Office of Special Education and Rehabilitative Services, Department of Education.

ACTION: Notice of proposed priorities and changes to the application process.

SUMMARY: The Assistant Secretary for Special Education and Rehabilitative Services proposes priorities for the Alternative Financing Mechanisms Program (AFP) under title III of the Assistive Technology Act of 1998 (AT Act) that is administered by the National Institute on Disability and Rehabilitation Research (NIDRR) and the Access to Telework Fund Program (Telework) under section 303(b) of the Rehabilitation Act of 1973, as amended (Rehab Act), that is administered by the Rehabilitation Services Administration (RSA). In addition, the notice contains changes to the application process that NIDRR and RSA will use for these competitions. The Assistant Secretary may use these priorities for competitions in fiscal year (FY) 2003 and later years.

DATES: We must receive your written comments on or before September 4, 2003.

ADDRESSES: Address all comments about these proposed priorities to Carol Cohen, U.S. Department of Education, 400 Maryland Avenue, SW., room 3420, Switzer Building, Washington, DC 20202-2645. Fax: (202) 205-8515. If you prefer to send your comments through the Internet, use the following address:

carol.cohen@ed.gov

FOR FURTHER INFORMATION CONTACT: Carol Cohen. Telephone: (202) 205-5666.

If you use a telecommunications device for the deaf (TDD), you may call the TDD number at (202) 205-4475 or via the Internet:

carol.cohen@ed.gov

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR FURTHER INFORMATION CONTACT.

SUPPLEMENTARY INFORMATION:

Invitation to Comment

We invite you to submit comments regarding these proposed priorities. To ensure that your comments have maximum effect in developing the notice of final priorities, we urge you to identify clearly the specific proposed priority that each comment addresses.

We invite you to assist us in complying with the specific requirements of Executive Order 12866 and its overall requirement of reducing regulatory burden that might result from these proposed priorities. Please let us know of any further opportunities we should take to reduce potential costs or increase potential benefits while preserving the effective and efficient administration of these programs.

During and after the comment period, you may inspect all public comments about these priorities in room 3420, Switzer Building, 330 C Street, SW., Washington, DC, between the hours of 8:30 a.m. and 4:00 p.m., Eastern time, Monday through Friday of each week except Federal holidays.

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Assistance to Individuals With Disabilities in Reviewing the Comments

On request, we will supply an appropriate aid, such as a reader or print magnifier, to an individual with a disability who needs assistance to review the comments or other documents in the Public rulemaking record for these proposed priorities. If you want to schedule an appointment for this type of aid, please contact the person listed under FOR FURTHER INFORMATION CONTACT.

We will announce the final priorities in a notice in the Federal Register. We will determine the final priorities after considering responses to this notice and other information available to the Department. This notice does not preclude us from proposing or funding additional priorities, subject to meeting applicable rulemaking requirements.

Note: This notice does not solicit applications. In any year in which we choose to use these proposed absolute priorities, we invite applications through a notice in the Federal Register. When inviting applications we designate each priority as absolute, competitive preference, or invitational. The effect of each type of priority follows:

Absolute priority: Under an absolute priority, we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

Competitive preference priority: Under a competitive preference priority, we give competitive preference to an application by either (1) awarding additional points, depending on how well or the extent to which the application meets the priority (34 CFR 75.105(c)(2)(i)); or (2) selecting an

application that meets the competitive priority over an application of comparable merit that does not meet the competitive priority (34 CFR 75.105(c)(2)(ii)).

Invitational priority: Under an invitational priority, we are particularly interested in applications that meet the invitational priority. However, we do not give an application that meets the priority a competitive or absolute preference over other applications (34 CFR 75.105(c)(1)).

PRIORITIES

Eligibility for an AFP Grant

States that receive or have received grants under section 101 of the AT Act are eligible for an AFP grant. Under section 3(a)(13)(A) of the AT Act, State means each of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

Eligibility for a Telework Grant

States as defined in the AT Act and governing bodies of American Indian tribes located on Federal and State reservations consistent with section 7(19)(B) of the Rehab Act are eligible for a Telework grant. Consortia of States and American Indian tribes are also eligible for a Telework grant.

Joint Administration of Grants

States may jointly apply for and administer an AFP grant and a Telework grant. States that submit one application for the two priorities must meet the requirements for each priority and will compete separately under each priority.

Proposed Priority 1: Alternative Financing Mechanism Program

Note: Public comment is limited to those portions of the proposed AFP priority not specifically addressed by the AT Act. We have provided citations to the AT Act where appropriate.

Background

The purpose of title III of the AT Act is to maximize independence and participation in society by individuals with disabilities through the establishment of the AFP. Title III authorizes a Federal program to pay a share of the cost of establishment or expansion, and administration of programs that fund alternatives to the traditional payment options of public assistance and self-financing so that individuals with disabilities can acquire assistive technology devices and services (hereinafter referred to as AT).

Most individuals with disabilities do not have the private financial resources to purchase the AT they need. Currently, major service programs such as Medicaid, Medicare, and vocational rehabilitation cannot meet the growing demand for AT. The AFP offers individuals with disabilities attractive options that significantly enhance their access to AT in a way that underscores independence and inclusion.

The Assistant Secretary may award one-year grants or cooperative agreements to States to establish or maintain an AFP to increase access to AT for individuals with disabilities. NIDRR made AFP grants to six States in FY 2000 and to 14 States in FY 2001. In addition, NIDRR funded one AFP Technical Assistance project to assist States to apply for AFP grants and to assist recipients to develop and implement the AFP program in their States.

On August 13, 2002, NIDRR published a notice in the Federal Register inviting comments on the AFP (67 Fed. Reg. 52838). NIDRR received 17 comments by the deadline. The proposed AFP priority contains provisions suggested by the commenters. In addition, in response to the comments, NIDRR is planning on making changes to its application process for AFP awards.

An AFP grantee may implement one or more types of alternative financing mechanisms to allow individuals with disabilities and their family members, guardians, advocates, and authorized representatives to purchase AT devices and services. The statute requires grantees to place all funds that support their AFP grant, including those repaid during the life of the program, in a permanent and separate account (Sec. 303(b)(5)(A)).

The following is a discussion of important issues that an applicant for an AFP grant should consider in developing an application.

(1) Nature of the Match: As established in the Fiscal Year 2002 Appropriations bill that supercedes the AT Act's statutory requirement, the State:Federal match requirement ratio is 1:3 (Department of Education Appropriations Act, 2002, Public Law 107-116). Thus, the State match share is 25%.

In the past, the biggest hurdle to States submitting a fundable application for an AFP grant has been meeting the requirement in section 303(b)(1) to match the Federal award with cash. NIDRR received comments on this issue urging that "cash" be defined as broadly as possible, including allowing "in-kind" contributions to qualify as a match of the Federal funds. NIDRR has concluded that the statute does not allow for this interpretation. The statutory language is clear: the State

matching funds must be cash. Thus, the match cannot be "in-kind" contributions such as personnel costs, rent, equipment or other program supports.

State matching funds must come from State, local or private sources (Sec. 303(b)(1)). State matching funds may not be other Federal or previously obligated State funds, or funds made available by a financial or lending institution for direct loans that are not maintained in the required permanent separate account. The proposed priority includes a provision establishing that applicants must identify the source of their matching funds.

The State matching funds cannot supplant funds that have been used to support AFP mechanisms (e.g., title I or existing title III funds) (Sec. 303(b)(4)). However, a State may use its AFP award to expand an existing AFP.

(2) Permanence of the Program: The AFP awards have a 12-month funding period (Sec. 303(b)(2)). However, the project period for an AFP remains in effect for as long as the program originally funded by the AFP award is in operation. NIDRR received comments asking for clarification of the statutory language that refers to the permanence of the AFP. The proposed priority includes a provision that addresses what is meant by a State's obligation to implement its AFP grant on a permanent basis. This obligation goes well beyond a project's 12-month funding period.

(3) Responsibilities of the Grantee During the First Budget Period: During the first 12-month budget period, the statute requires a grantee to submit policies and procedures to NIDRR that will be used to administer the AFP grant (Sec. 305). The proposed AFP priority includes provisions specifying when during

the first 12-month budget period these policies and procedures must be submitted to NIDRR. In addition, the proposed AFP priority includes provisions requiring the grantee to undertake two additional statutory activities during the first 12-month budget period: (1) depositing its matching funds and its Federal award funds into a permanent separate account (Sec. 303(b)(5)), and (2) entering into a contract with a community-based organization (CBO), ensuring that the CBO has entered into a contract with commercial lending institutions or organizations or State financing agencies (Sec. 304).

(4) Closing out an AFP Grant with Funds Remaining: The proposed AFP priority includes a provision that establishes how much a State must return to NIDRR when it terminates its AFP grant and how to address outstanding loans in that calculation. When the AFP grant ceases, voluntarily or involuntarily, as part of the grant closeout process, the grantee has 90 days after the end of the funding year to return the Federal share of the remaining funds.

(5) Use and Control of Funds: One of the assurances that applicants must submit involves the use and control of the AFP grant funds, including funds generated through interest-bearing accounts and investment income (Sec. 303(b)(6)). The proposed AFP priority includes a provision that clarifies that the assurance regarding the use and control of funds applies to all funds derived from the AFP grant including the original Federal award, the State matching funds, AFP funds generated by either interest bearing accounts or investments, and all principal and interest paid by AFP borrowers who are extended loans directly from the permanent separate account.

(6) Contract with CBO: Grantees are required to contract with a community-based organization (CBO) to administer the AFP grant (Sec. 304). NIDRR strongly encourages a State to identify this CBO in their application and include a letter of participation from the organization. Further, States are encouraged to take a competitive and inclusive approach to selecting the CBO.

(7) Indirect Costs: The statute provides that the percentage of funds made available through the grant that is used for indirect costs may not exceed 10% (Sec. 303(b)(7)). The proposed AFP priority includes a provision that requires the grantee to recalculate annually the maximum allowable indirect cost rate, which may not exceed 10 percent of the amount of funds in the permanent and separate account and the amount of loans outstanding from that account.

(8) Eligibility of Employers: NIDRR received comments requesting clarification whether employers are eligible to assist individuals with disabilities through an AFP grant. The proposed AFP priority includes language stating that an employer is eligible to serve as an authorized representative of an individual with a disability.

(9) Responsibilities of Employers under the Americans with Disabilities Act (ADA): NIDRR received comments on whether an AFP grant affects an employer's responsibility to provide reasonable accommodations to qualified employees with disabilities. An employer's obligations under the ADA are not affected by the existence of an AFP grant, which is a voluntary program for individuals with disabilities. However, there is nothing in the ADA or in the AT Act that would prohibit an

individual with a disability from choosing to have an employer serve as an authorized representative to obtain AT on behalf of the employee by using AFP grant support even if the employer already has a responsibility under the ADA to provide the AT. At the same time, an employer may not require an employee to designate the employer as an authorized representative under the AFP grant nor may an employer require an employee to use the AFP grant to purchase AT.

(10) Personal Grants: NIDRR received comments inquiring whether an AFP grantee could provide direct financial assistance to qualified individuals for AT. The statutory language of the AFP is unequivocal: AFP funds cannot be used as outright grants to eligible individuals. Individuals who participate in an AFP grant are expected to pay for the purchase of the AT.

Proposed Priority

The purpose of these proposed requirements is to increase the funding for and provision of AT (Sec. 2(b)(1)(A)). The AFP will: (1) achieve the program's short-term goal of purchasing AT through alternative financing mechanisms for individuals with disabilities, and other eligible parties; and (2) achieve the program's long-term goals of establishing a nationwide network of permanent State AFPs that promote independence and choice.

States that receive or have received grants under section 101 of the AT Act are eligible to compete for an AFP (Sec. 303(a)). In its application, a State must identify and describe one or more of the following types of AFP programs that the State will implement:

- (1) a low-interest loan fund;
- (2) an interest buy-down program;

- (3) a revolving loan fund;
- (4) a loan guarantee or insurance program;
- (5) a program operated by a partnership among private entities for the purchase, lease, or other acquisition of AT devices or AT services; or
- (6) another mechanism that meets the requirements of title III and is approved by the Secretary (Sec. 301(b)).

According to section 301(a) of the AT Act, the AFP is designed to allow individuals with disabilities and their family members, guardians, advocates, and authorized representatives to purchase AT. The terms "AT devices" and "AT services" are defined in section 3(a) of the AT Act. When family members, guardians, advocates, and authorized representatives (including employers who have been designated by an individual with a disability as an authorized representative) receive AFP support to purchase AT, the purchase must be on behalf of an individual with a disability, i.e., the AT that is purchased must be solely for the benefit of that individual.

In addition, an applicant must submit the following assurances:

- (1) Nature of the Match: an assurance that the State will provide the non-Federal share (25%) of the cost of the AFP in cash, from State, local, or private sources (Sec. 303(b)(1)). An applicant must identify the amount of Federal funds the State is requesting and the amount of cash that the State is going to generate as a match as well as the source of the cash.
- (2) Permanence of the Program: an assurance that the AFP will continue on a permanent basis (Sec. 303(b)(2)).

A State's obligation to implement the AFP program consistent with all of the requirements, including reporting requirements, continues throughout the project period until there are no longer any funds available to operate the AFP and all outstanding loans have been repaid.

If a State decides to terminate its AFP while there are still funds available to operate the program, the State must return the Federal share of the funds remaining in the permanent separate account to NIDRR (e.g., 75% if the original State:Federal match was 1:3) except for funds being used for grant purposes, such as loan guarantees for outstanding loans. However, before closing out its grant, the State must also return the Federal share of any principal and interest remitted to it on outstanding loans and any other funds remaining in the permanent separate account, such as funds being used as loan guarantees for those loans.

(3) Consumer Choice and Control: an assurance that, and information describing the manner in which, the AFP will expand and emphasize consumer choice and control (Sec. 303(b)(3)).

(4) Supplement Not Supplant: an assurance that the funds made available through the grant to support the AFP will be used to supplement and not supplant other Federal, State, and local public funds expended to provide alternative financing mechanisms (Sec. 303(b)(4)).

(5) Permanent Separate Account: an assurance that the State will ensure that (A) all funds that support the AFP, including funds repaid during the life of the program, will be placed in a permanent separate account and identified and accounted for separately from any other fund; (B) if the organization

administering the program invests funds within this account, the organization will invest the funds in low-risk securities in which a regulated insurance company may invest under the law of the State; and (C) the organization will administer the funds with the same judgment and care that a person of prudence, discretion, and intelligence would exercise in the management of the financial affairs of such person (Sec. 303(b)(5)).

During the first 12-month budget period, a grantee must deposit its matching funds and its Federal award funds in the permanent and separate account.

(6) Use and Control of Funds: an assurance that (A) funds comprised of the principal and interest from the account described in paragraph (5) will be available to support the AFP; and (B) any interest or investment income that accrues on or derives from such funds after such funds have been placed under the control of the organization administering the AFP, but before such funds are distributed for purposes of supporting the program, will be the property of the organization administering the program (Sec. 303(b)(6)).

This assurance regarding the use and control of funds applies to all funds derived from the AFP including the original Federal award, the State matching funds, AFP funds generated by either interest bearing accounts or investments, and all principal and interest paid by borrowers of the AFP who are extended loans from the permanent separate account.

(7) Indirect Costs: an assurance that the percentage of the funds made available through the grant that is used for indirect costs will not exceed 10 percent (Sec. 303(b)(7)).

For each 12-month budget period, grantees must recalculate their allowable indirect cost rate, which may not exceed 10 percent of the amount of funds in the permanent and separate account and any outstanding loans from that account.

(8) Contract with a Community-based Organization: an assurance that the State will enter into a contract with a community-based organization (including a group of such organizations) that has individuals with disabilities involved in organizational decision making at all organizational levels, to administer the AFP. The contract will: (1) include a provision requiring that the program funds, including the Federal and non-Federal shares of the cost of the program, be administered in a manner consistent with the provisions of title III; (2) include any provision the Secretary requires concerning oversight and evaluation necessary to protect Federal financial interests; and (3) require the community-based organization to enter into a contract, to expand opportunities under title III and facilitate administration of the AFP, with commercial lending institutions or organizations or State financing agencies (Sec. 304 (a) and (b)).

During the first 12-month budget period, a grantee must enter into the contract with a CBO and ensure that the CBO has entered into the contract with the commercial lending institutions or organizations or State financing agencies.

(9) Administrative Policies and Procedures: an assurance that the State and any community-based organization that enters into a contract with the State under title III, will submit to the Secretary the following policies and procedures for administration of the AFP: (1) A procedure to review and process in a timely manner requests for financial assistance for

immediate and potential technology needs, including consideration of methods to reduce paperwork and duplication of effort, particularly relating to need, eligibility, and determination of the specific AT device or service to be financed through the program; (2) A policy and procedure to ensure that access to the AFP shall be given to consumers regardless of type of disability, age, income level, location of residence in the State, or type of AT device or AT service for which financing is requested through the program; and (3) A procedure to ensure consumer-controlled oversight of the program (Sec. 305).

Grantees must submit the administrative policies and procedures required in this assurance within six months of the start of the grant.

(10) Data Collection: an assurance that the State will collect the following: (1) information on the type of alternative financing mechanisms used by the State and the community-based organization with which each State entered into a contract, under the program (Sec. 307); (2) the amount of assistance given to consumers through the program (who shall be classified by age, type of disability, type of AT device or AT service financed through the program, geographic distribution within the State, gender, and whether the consumers are part of an underrepresented population or rural population) (Sec. 307); and (3) information on the program's short-term and long-term goals.

Grantees must enter the data requested in this assurance, and other data the Secretary may require, in the system developed by the Secretary. The Technical Assistance provider has developed a (voluntary) web-based data collection instrument to assist the AFP grantees for this purpose. For more information on

the data collection system, products, and reports, see www.resna.org/AFTAP/loan/index.html. Grantees must enter the data elements contained in this form as well as specific information (to be determined) pertaining to the short-term and long-term goals.

Through the analysis of data collected under the following reporting requirements, the Secretary will assess grantee success in meeting the program's overall goals of: (1) increasing access to alternative financing programs for the purchases of AT for individuals with disabilities; and (2) establishing a nationwide network of permanent State AFPs that promote independence and choice.

Performance measures used to determine whether the goals have been accomplished will include: (1) number of loan applications; (2) number of loans; (3) amount and terms of each loan; (4) number of loan applications denied and the reasons for the denials; (5) number of individuals with disabilities who obtained AT; (6) purpose and type of the AT purchased; (7) default rate and net losses; (8) number of States that have established new loan program or expanded existing loan programs; and (9) State loan capacity.

Grantee evaluation systems must be capable of collecting and analyzing this and any additional required information.

Proposed Priority 2: Access to Telework Fund

Eligibility for a Telework Grant

State agencies from the 50 States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, are eligible for a Telework grant.

For the purposes of this document, these entities will be referred to as States.

Governing bodies of American Indian tribes located on Federal and State reservations (and consortia of those governing bodies) consistent with section 7(19)(B) of the Rehab Act are also eligible for a Telework grant.

More than one agency within a State or tribe may receive a Telework grant, but there must be coordination and communication between these grantees.

Background

In February of 2001, the President introduced his New Freedom Initiative to help individuals with disabilities by increasing access to assistive technologies, expanding educational opportunities, increasing the ability of individuals with disabilities to integrate into the workforce, and promoting increased access into daily community life. In order to increase the participation of individuals with disabilities in the workforce, Telework was proposed as part of this initiative. Telework provides support for alternative financing mechanisms with the goal of expanding telework opportunities for individuals with disabilities.

Through the availability of telework and other alternative work options, barriers to employment such as inadequate transportation, fatigue, inaccessible work environments, and the need for personal assistance experienced by individuals with disabilities can be reduced or eliminated. While Telework does not relieve covered employers from their obligations under the Americans with Disabilities Act (ADA), it will provide individuals with disabilities an alternative mechanism to access

computers and other needed equipment not provided by an employer to enable them to establish telework and other alternative work environments. These work options will provide employment opportunities to many Americans who want or need a flexible work environment.

While computer technology and the Internet have tremendous potential to broaden telework options, including home-based self-employment, the computer and Internet revolution has not reached as many people with disabilities as the population without disabilities. Only 25 percent of individuals with disabilities own a computer, compared with 66 percent of U.S. adults without disabilities, and only 20 percent of individuals with disabilities have access to the Internet, compared with 40 percent of U.S. adults. The primary barrier to wider access to computer equipment is cost.

It is often very difficult for individuals with disabilities to save enough money to purchase computer and adaptive technology (e.g., screen readers, voice synthesizers, adaptive keyboards, and specialized software). Cash benefit programs do not provide sufficient funds for both living expenses and savings, and income support programs limit the amount of assets a person can accumulate. For a number of reasons, individuals with disabilities often find it difficult to access loans as a method to purchase necessary equipment. For example, they may have insufficient cash or collateral, lack an appropriate credit rating, or face attitudinal barriers. Telework addresses these barriers by assisting individuals with disabilities to obtain financing for computers and other equipment, so that they may work from home or other telework sites.

For the purposes of the proposed Telework priority, the term "telework" encompasses work that can be performed effectively from home or from other remote sites away from the office, such as work on the road or at a telework center. Successful applicants will develop programs that will enable individuals with disabilities to obtain computers and other equipment so that they can work as an employee or contractor or to become self-employed on a full-time or part-time basis from home or other remote sites.

On December 26, 2002 RSA published a notice of proposed priority and proposed application requirements in the Federal Register for Telework (67 Fed. Reg. 78790). RSA received 24 comments by the deadline. Twelve of the 24 commenters suggested allowing State grantees to jointly administer AFP and Telework, and six other commenters suggested that AFP and Telework grantees collaborate closely.

We agree that it would be more efficient for AFP grantees that choose to apply for Telework to jointly apply for and administer the two grant programs. However, AFP grantees may also choose to separately apply for and administer a Telework grant.

In order to enable joint administration of the two programs, the Assistant Secretary has revised the December 26, 2002 proposed Telework priority to parallel the AFP statutory requirements. The major revision is that the application and program requirements contained in the December 26, 2002 proposed Telework priority are now addressed through a number of required assurances with accompanying timeframes for implementing the assurances.

Eligible State applicants for an AFP grant may apply for a Telework grant by submitting one application to jointly administer the two grant programs. These States must specify in their application the amount of their match that is devoted to each grant. However, section 303(b)(5)(A) of the AT Act requires that AFP funds be placed in a permanent separate account. Thus, while State grantees may jointly administer the AFP and Telework, the funds must be kept in permanent separate accounts.

There are two major differences between the AFP and the Telework. The match requirement for a Telework grant is 10 percent while the match requirement for an AFP grant is 25 percent.

The second difference between the AFP and Telework is that the two programs have different short-term and long-term goals. Telework will provide support to individuals with disabilities for the purpose of purchasing computers and other equipment, including adaptive equipment. Telework will: (1) achieve the program's short-term goal of increasing access to technology for disabled individuals through alternative financing mechanisms that are used to purchase computers and other equipment, including adaptive equipment, so that individuals with disabilities can telework from home or other remote sites; and (2) achieve the program's long-term goal of increasing employment opportunities and competitive employment outcomes for individuals with disabilities. The proposed priority would implement the Access to Telework Fund proposed by the President in his New Freedom Initiative.

Congress appropriated funds under section 303(b) of the Rehab Act to provide RSA the funds necessary to administer Telework. The proposed priority supports this section by furthering the purposes of the Rehab Act, specifically by empowering individuals with disabilities to maximize employment.

Proposed Priority

In its application, a State or Indian tribe must identify and describe one or more of the following types of programs that the State will implement:

- (1) a low-interest loan fund;
- (2) an interest buy-down program;
- (3) a revolving loan fund;
- (4) a loan guarantee or insurance program;
- (5) a program operated by a partnership among private entities for the purchase, lease, or other acquisition of computers and other equipment, including adaptive equipment;
- (6) another mechanism that meets the requirements and intent of this program and is approved by the Secretary.

In addition, an applicant must submit the following assurances:

- (1) Nature of the Match: an assurance that the State or Indian tribe will provide the non-Federal share (10%) of the cost of Telework in cash, from State or Indian tribe, local, or private sources. An applicant must identify the amount of Federal funds it is requesting and the amount of cash that the State or Indian tribe is going to generate as a match as well as the source of the cash.
- (2) Permanence of the Program: an assurance that Telework will continue on a permanent basis.

A State or Indian tribe's obligation to implement Telework consistent with all of the requirements, including reporting requirements, continues throughout the project period until there are no longer any funds available to operate Telework and all outstanding loans have been repaid.

If a State or Indian tribe decides to terminate its Telework grant while there are still funds available to operate the program, the State or Indian tribe must immediately return the Federal share of the funds remaining in the permanent separate account to RSA (e.g., 90% if the original State or Indian tribe: Federal match was 1:9) except for funds being used for grant purposes, such as loan guarantees for outstanding loans. However, before closing out its grant, the State or Indian tribe must also return the Federal share of any principal and interest remitted to it on outstanding loans and any other funds remaining in the permanent separate account, such as funds being used as loan guarantees for those loans.

(3) Consumer Choice and Control: an assurance that, and information describing the manner in which, Telework will expand and emphasize consumer choice and control.

(4) Supplement Not Supplant: an assurance that the funds made available through the grant to support Telework will be used to supplement and not supplant other Federal, State or Indian tribe, and local public funds to support similar services to individuals with disabilities.

(5) Permanent Separate Account: an assurance that the State or Indian tribe will ensure that (A) all funds that support Telework, including funds repaid during the life of the program, will be placed in a permanent separate account and identified and

accounted for separately from any other fund; (B) if the organization administering the program invests funds within this account, the organization will invest the funds in low-risk securities in which a regulated insurance company may invest under the law of the State; and (C) the organization will administer the funds with the same judgment and care that a person of prudence, discretion, and intelligence would exercise in the management of the financial affairs of such person.

During the first 12-month budget period, a grantee must deposit its matching funds and its Federal award funds in the permanent and separate account.

(6) Use and Control of Funds: an assurance that (A) funds comprised of the principal and interest from the account described in paragraph (5) will be available to support Telework; and (B) any interest or investment income that accrues on or derives from such funds after such funds have been placed under the control of the organization administering Telework, but before such funds are distributed for purposes of supporting the program, will be the property of the organization administering the program.

This assurance regarding the use and control of funds applies to all funds derived from Telework including the original Federal award, the State or Indian tribe matching funds, Telework funds generated by either interest bearing accounts or investments, and all principal and interest paid by borrowers of Telework who are extended loans from the permanent separate account.

(7) Indirect Costs: an assurance that the percentage of the funds made available through the grant that is used for indirect costs will not exceed 10 percent.

For each 12-month budget period, grantees must recalculate their allowable indirect cost rate, which may not exceed 10 percent of the amount of funds in the permanent and separate account and any outstanding loans from that account.

(8) Administrative Policies and Procedures: an assurance that the State or Indian tribe will submit to the Secretary the following policies and procedures for administration of Telework: (1) A procedure to review and process in a timely manner requests for financial assistance for immediate and potential needs, including consideration of methods to reduce paperwork and duplication of effort, particularly relating to need, eligibility, and determination of the specific device or service to be financed through the program; (2) A policy and procedure to ensure that access to Telework shall be given to consumers regardless of type of disability, age, income level, location of residence in the State or Indian tribe, or type of device or service for which financing is requested through the program; and (3) A procedure to ensure consumer-controlled oversight of the program.

Grantees must submit the administrative policies and procedures required in this assurance within six months of the start of the grant.

(9) Data Collection: an assurance that the State or Indian tribe will collect the following: (A) Information on whether the program is achieving its short-term goal of increasing access to technology for disabled individuals through the provision of loans that must be used to purchase computers and other equipment, including adaptive equipment, so that individuals with

disabilities can telework from home and other remote sites; and
(B) Information on whether the program is achieving its long-term goal of increasing employment opportunities and competitive employment outcomes for individuals with disabilities.

Grantees must enter the data requested in this assurance, and other data the Secretary may require, in the system developed by the Secretary.

Through the analysis of data collected under the following reporting requirements, the Secretary will assess grantee success in meeting the program's overall goals of: (1) Increasing access to technology for disabled individuals; and (2) Increasing employment opportunities and competitive employment outcomes for individuals with disabilities.

Performance measures used to determine whether the goals have been accomplished will include: (1) number of loan applications; (2) number of loans; (3) amount and terms of each loan; (4) number of loan applications denied and the reasons for the denials; (5) the types of equipment financed, including the total number of each type of equipment financed; (6) number of individuals who obtained telework employment as a result of Telework loans; (7) default rate and net losses; and (8) the total financial contribution to the project, including the Federal share and non-Federal matching contributions, and the source of the non-Federal share.

Grantee evaluation systems must be capable of collecting and analyzing this and any additional information as required by the Secretary.

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In addition, each State applicant must provide the following assurance:

Contract with a Community-based Organization: an assurance that the State (note: Indian tribes are exempt from this requirement) will enter into a contract with a community-based organization (including a group of such organizations) that has individuals with disabilities involved in organizational decision making at all organizational levels, to administer Telework. The contract will: (1) include a provision requiring that the program funds, including the Federal and non-Federal shares of the cost of the program, be administered in a manner consistent with the provisions of this priority; (2) include any provision the Secretary requires concerning oversight and evaluation necessary to protect Federal financial interests; and (3) require the community-based organization to enter into a contract, to expand opportunities under this priority and facilitate administration of Telework, with commercial lending institutions or organizations or State financing agencies.

During the first 12-month budget period, a grantee must enter into the contract with a CBO and ensure that the CBO has entered into the contract with the commercial lending institutions or organizations or State financing agencies.

Applicability of Education Department General Administrative Regulations (EDGAR) to AFP and Telework

In general, EDGAR applies to these two grants except to the extent it is inconsistent with the purpose and intent of title III of the AT Act, section 303(b) of the Rehab Act, or the requirements in this notice. Specifically, grantees are exempt from section 80.21(i) regarding interest earned on advances and

the addition method in section 80.25(g) (2) applies to program income rather than the deduction method in section 80.25(g) (1). Also, sections 75.560-75.564 do not apply to the extent that these sections of EDGAR are inconsistent with the AFP and Telework requirement that indirect costs cannot exceed 10 percent. Finally, section 75.125, which requires applicants to submit a separate application for each program, does not apply to this competition.

Changes in NIDRR's and RSA's Application Processes for AFP and Telework Awards

Based upon public comments made in response to the earlier Federal Register notices for the AFP and Telework, NIDRR and RSA are planning on making changes to the application process for the grant awards. These revised application procedures will assist applicants to prepare fundable proposals, simplify the information that is required in the application, and streamline the application review process. NIDRR and RSA expect to fund all applications that meet the requirements set forth in the proposed priorities.

In order to promote fundable applications, NIDRR and RSA will provide applicants with technical assistance on their proposals beginning with the publication of this notice and up until the deadline for submission of applications. Prior to the application deadline, NIDRR and RSA will answer questions, review draft proposals, and provide applicants with feedback in order to assist them to submit a fundable application. In addition, NIDRR's AFP Technical Assistance project will provide assistance to all entities that are interested in applying for an AFP or Telework award.

The application process will be simplified by requiring applicants to submit a number of assurances, and a limited amount of information related to those assurances. NIDRR and RSA will not require applicants to provide details in their applications concerning the policies and procedures they will use to administer their AFP or Telework grant. These policies and procedures will be submitted by grantees to NIDRR or RSA within the first year of the grant.

NIDRR and RSA will use an internal application review process to determine whether all the necessary assurances and required program information have been submitted. This will ensure that the same standards that are used to provide applicants with information and feedback during the application period will be applied to evaluate applications for funding.

The Notice Inviting Applications that accompanies the final priorities will ask each applicant to identify the amount of the Federal award for which it is applying and can qualify. That amount is based on the amount of matching funds to be provided by the applicant. The size of each award will depend on the total number of fundable applications that NIDRR and RSA receive and the requests for Federal funding that are included in those applications.

Electronic Access to This Document

You may review this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/legislation/FedRegister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO access at:

<http://www.access.gpo.gov/nara/index.html>

(Catalog of Federal Domestic Assistance Number 84.224C, Alternative Financing Program and 84.235T, Access to Telework Fund Program.)

PROGRAM AUTHORITY: 29 U.S.C. 773(b) and 29 U.S.C. 3051-3056.

Dated: August 5, 2003

Robert H. Pasternack,
Assistant Secretary for
Special Education and
Rehabilitative Services.

SECTION C

Notice Inviting Applications

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA Nos.: 84.224C and 84.235T)

Alternative Financing Mechanism Program and Access to Telework
Fund Program

Notice inviting applications for new awards for Fiscal Year (FY)
2003.

PURPOSE OF PROGRAM: This notice invites applications for two
programs: the Alternative Financing Mechanisms Program (AFP)
under title III of the Assistive Technology Act of 1998 (AT Act)
that is administered by the National Institute on Disability and
Rehabilitation Research (NIDRR) and the Access to Telework Fund
Program (Telework) under section 303(b) of the Rehabilitation
Act of 1973, as amended (Rehab Act), that is administered by the
Rehabilitation Services Administration (RSA).

It is the policy of the Department of Education not to
solicit applications before the publication of final priorities.
However, in this case it is essential to solicit applications on
the basis of the notice of proposed priority, definitions, and
application and project requirements published elsewhere in this
issue of the Federal Register, because the Department's
authority to obligate these funds will expire on September 30,
2003. Applicants should base their applications on the proposed
priority, definitions, and application and project requirements.
If changes are made in the final notice in response to public
comments or other considerations, applicants will be given an
opportunity to revise or resubmit their applications.

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SUPPLEMENTARY INFORMATION: Funds under these competitions will be used to support projects in FY 2003.

States may jointly apply for and administer an AFP grant and a Telework grant. These States must meet the requirements for each priority and will compete separately under each priority. Alternatively, States may apply for either the AFP or the Telework grant, or both, to be administered separately. In addition, Indian tribes are eligible to apply for Telework grants.

PRIORITIES

Absolute Priority 1--Alternative Financing Mechanism Program
(84.224C)

For FY 2003, this priority is an absolute priority. Under 34 CFR 75.105(c) (3) we consider only applications that meet the priority, definitions, and application and project requirements.

The AFP will award grants to States to pay for the Federal share of the cost of the establishment and administration of, or the expansion and administration of, an AFP featuring one or more alternative financing mechanisms to allow individuals with disabilities and their family members, guardians, advocates, and authorized representatives to purchase AT devices and AT services.

ELIGIBLE APPLICANTS: States that receive or have received grants under section 101 of the AT Act are eligible for an AFP grant. Under section 3(a)(13)(A) of the AT Act, State means each of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

APPLICABLE REGULATIONS: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 80, 81, 82, and 85

SELECTION CRITERIA:

In evaluating an application for a new grant under this competition, we will determine if an applicant has submitted the required assurances.

Absolute Priority 2--Access to Telework Fund Program (84.235T)

For FY 2003, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet the priority, definitions, and application and project requirements.

The Access to Telework Fund Program will award grants to States and Indian Tribes to pay for the Federal share of the cost of the establishment and administration of an Access to Telework Fund featuring one or more alternative financing mechanisms to allow individuals with disabilities access to computers and other needed equipment not provided by an employer to enable them to telework from home or other remote sites.

ELIGIBLE APPLICANTS: States as defined in the AT Act and governing bodies of American Indian tribes located on Federal and State reservations consistent with section 7(19)(B) of the Rehab Act are eligible for a Telework grant. Consortia of States and American Indian tribes are also eligible for a Telework grant.

APPLICABLE REGULATIONS: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 80, 81, 82, and 85

SELECTION CRITERIA:

In evaluating an application for a new grant under this competition, we will determine if an applicant has submitted the required assurances.

Alternative Financing Mechanism Program and Access to Telework Fund Program
CFDA Nos. 84.224C and 84.235T
Applications for FY 2003

CFDA No. Program Name	Application available	Deadline for transmittal of applications	Estimated Range of awards	Estimated number of awards *	Project period (months)
84.224C Alternative Financing Mechanism Program	(August 5, 2003).	September 4, 2003	\$500,000 - \$2,000,000	24	as long as the program originally funded by the AFP award is in operation (section 303(b)(2) of the AT Act)
84.235T Access to Telework Fund Program	(August 5, 2003).	September 4, 2003	\$250,000- \$1,000,000	40	as long as the program originally funded by the Telework award is in operation

*The Department is not bound by any estimates in this notice.

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs via its Web site:

<http://www.ed.gov/pubs/edpubs.html>

Or you may contact ED Pubs at its e-mail address:

edpubs@inet.ed.gov

If you request an application from ED Pubs, be sure to identify these competitions as follows: CFDA number 84.224C (AFP) and 84.235T (Telework).

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 3317, Switzer Building, Washington, DC 20202-2550. Telephone: (202) 205-8207. If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

FOR FURTHER INFORMATION CONTACT: Carol G. Cohen. Telephone: (202) 205-5666 or via the Internet:

carol.cohen@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the TDD number at (202) 205-4475.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR FURTHER INFORMATION CONTACT.

APPLICATION PROCEDURES:

The application procedures for these priorities are found in the application package.

Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/legislation/FedRegister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: <http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 29 U.S.C. 773(b) and 29 U.S.C. 3051-3056.

Dated:

Robert H. Pasternack,
Assistant Secretary for
Special Education and
Rehabilitative Services.

SECTION D

AFP Application Requirements

Type(s) of AFP Program(s)

In its application, a State must identify and describe one or more of the following types of AFP programs that the State will implement:

- (1) a low-interest loan fund;
- (2) an interest buy-down program;
- (3) a revolving loan fund;
- (4) a loan guarantee or insurance program;
- (5) a program operated by a partnership among private entities for the purchase, lease, or other acquisition of AT devices or AT services; or
- (6) another mechanism that meets the requirements of title III and is approved by the Secretary (Sec. 301(b)).

Amount and Source of the Match

An applicant must identify the amount of Federal funds the State is requesting and the amount of cash that the State is going to generate as a match as well as the source of the cash.

Assurances

An applicant must submit the following assurances:

- (1) Nature of the Match: an assurance that the State will provide the non-Federal share (25%) of the cost of the AFP in cash, from State, local, or private sources (Sec. 303(b)(1)).
- (2) Permanence of the Program: an assurance that the AFP will continue on a permanent basis (Sec. 303(b)(2)).
- (3) Consumer Choice and Control: an assurance that, and information describing the manner in which, the AFP will expand and emphasize consumer choice and control (Sec. 303(b)(3)).
- (4) Supplement Not Supplant: an assurance that the funds made available through the grant to support the AFP will be used to supplement and not supplant other Federal, State, and local public funds expended to provide alternative financing mechanisms (Sec. 303(b)(4)).

(5) Permanent Separate Account: an assurance that the State will ensure that (A) all funds that support the AFP, including funds repaid during the life of the program, will be placed in a permanent separate account and identified and accounted for separately from any other fund; (B) if the organization administering the program invests funds within this account, the organization will invest the funds in low-risk securities in which a regulated insurance company may invest under the law of the State; and (C) the organization will administer the funds with the same judgment and care that a person of prudence, discretion, and intelligence would exercise in the management of the financial affairs of such person (Sec. 303(b)(5)).

(6) Use and Control of Funds: an assurance that (A) funds comprised of the principal and interest from the account described in paragraph (5) will be available to support the AFP; and (B) any interest or investment income that accrues on or derives from such funds after such funds have been placed under the control of the organization administering the AFP, but before such funds are distributed for purposes of supporting the program, will be the property of the organization administering the program (Sec. 303(b)(6)).

(7) Indirect Costs: an assurance that the percentage of the funds made available through the grant that is used for indirect costs will not exceed 10 percent (Sec. 303(b)(7)).

(8) Contract with a Community-based Organization: an assurance that the State will enter into a contract with a community-based organization (including a group of such organizations) that has individuals with disabilities involved in organizational decision making at all organizational levels, to administer the AFP. The contract will: (1) include a provision requiring that the program funds, including the Federal and non-Federal shares of the cost of the program, be administered in a manner consistent with the provisions of title III; (2) include any provision the Secretary requires concerning oversight and evaluation necessary to protect Federal financial interests; and (3) require the community-based organization to enter into a contract, to expand opportunities under title III and facilitate administration of the AFP, with commercial lending institutions or organizations or State financing agencies (Sec. 304 (a) and (b)).

(9) Administrative Policies and Procedures: an assurance that the State and any community-based organization that enters into a contract with the State under title III, will submit to the Secretary the following policies and procedures for administration of the AFP: (1) A procedure to review and process in a timely manner requests for financial assistance for immediate and potential technology needs, including consideration of methods to reduce paperwork and duplication of effort, particularly relating to need, eligibility, and determination of the specific AT device or service to be financed through the program; (2) A policy and procedure to ensure that access to the AFP shall be given to consumers regardless of type of disability, age, income level, location of residence in the State, or type of AT device or AT service for which financing is requested through the program; and (3) A procedure to ensure consumer-controlled oversight of the program (Sec. 305).

(10) Data Collection: an assurance that the State will collect the following: (1) information on the type of alternative financing mechanisms used by the State and the community-based organization with which each State entered into a contract, under the program (Sec. 307); (2) the amount of assistance given to consumers through the program (who shall be classified by age, type of disability, type of AT device or AT service financed through the program, geographic distribution within the State, gender, and whether the consumers are part of an underrepresented population or rural population) (Sec. 307); and (3) information on the program's short-term and long-term goals.

SECTION E

FREQUENTLY ASKED QUESTIONS & POINTS TO REMEMBER IN APPLICATION PREPARATION

1. CAN I GET AN EXTENSION OF THE DUE DATE?

No. On rare occasions the Department of Education may extend a closing date for all applicants. If that occurs, a notice of the revised due date is published in the Federal Register. However, there are no extensions or exceptions to the due date made for individual applicants.

2. WHAT SHOULD BE INCLUDED IN THE APPLICATION?

The application should include a project narrative, vitae, and letters of commitment, as well as all of the Assurances required in the proposed priority. Vitae should include information that is specifically pertinent to this proposed project.

3. WHAT FORMAT SHOULD BE USED FOR THE APPLICATION?

NIDRR advises applicants that they may organize the application to follow the requirements and assurances contained in the proposed priority.

4. CAN INDIVIDUALS APPLY FOR GRANTS?

No. This competition is limited to States and outlying areas that receive or have received grants under the AT State Grant Program (section 101 of the ATAct).

5. CAN I CALL NIDRR FOR TECHNICAL ASSISTANCE?

Yes. Technical Assistance is available from the NIDRR staff and is described in the proposed priority under For Further Information Contact.

6. WILL ALL APPLICATIONS BE FUNDED?

This will be based on the number of applications received however, it is our intent to fund all applications that meet the requirements and include all assurances and descriptions requested in the proposed priority.

POINTS TO REMEMBER IN APPLICATION PREPARATION

1. In the title block of #4 on the 424 form, please note the CFDA number, 84.224C on the form.
2. Number all pages to make it easier for the reader to refer to a page number if comments are given (including the appendices).
3. It is important to verify with your fiscal office the DUNS number, which goes in Block #2 on the ED 424 form. If you do not have one, call 1-800-333-0505 to set one up.
4. Mark Block #10, the EO 12372 as no and not covered. This program is not covered.
5. Include a table of contents in your application.
6. Application must be postmarked by the closing date of **September 4, 2003**. If sending by courier service (i.e., Fed X, UPS, Postal Express), please hand deliver between 8:00 a.m. and 4:30 p.m., to the following address: U.S. Department of Education, Application Control Center, Room 3671, General Services Administration National Capital Region, 7th and D Streets, S.W., Washington, DC 20202-4725. The phone number in ACC for express mail is 202-708-9493.

SECTION F

Application Transmittal Instructions for Mail or Hand Delivery

An application for an award must be postmarked or hand delivered by the closing date of
September 4, 2003

Applications Sent by Mail

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: CFDA 84.224C and title, 400 Maryland Avenue, S.W., Washington, DC 20202-4725.

An application must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first class mail. **Do not mail an application Book Rate as it will take weeks to reach us!** Each late applicant will be notified that its application will not be considered.

Application Delivered by Hand/Carrier Service

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, ATTENTION CFDA 84.224C and title Room 3671, Regional Office Building #3, 7th and D Streets, S.W., Washington, DC 20202-4725. The phone number in ACC for express mail is 202-708-9493.

The Application Control Center will accept deliveries between 8:00 a.m., and 4:30 p.m. (Washington, D.C.) daily, except Saturdays, Sundays and Federal holidays.

Individuals delivering applications must use the D Street entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date of **September 4, 2003**

SECTION G

INSTRUCTIONS FOR APPLICATION

INSTRUCTIONS FOR APPLICATION NARRATIVE

Recommended Page Limits:

The Secretary strongly recommends that applicants:

- (1) include a one-page abstract in their application;
- (2) limit Part III - Application Narrative to no more than 125 double-spaced 8.5 x 11" pages (on one side only) with one inch margins (top, bottom, and sides);
- (3) double-space (no more than 3 lines per vertical inch) all sections of text in the application narrative; and
- (4) use no smaller than a 12-point font, and an average character density no greater than 14 characters per inch.

The recommended application narrative page limit does not apply to: Part I – ED 424 form; Part II - the budget section ED 524, including the narrative budget justification; and Part IV - the assurances and certifications. Applicants should note that reviewers are not required to review any information provided in the appendixes. The recommendations for double-spacing and font do not apply within charts, tables, figures, and graphs, but the information presented in those formats should be easily readable.

APPLICATION FORMS

The enclosed forms shall be used by all applicants for Federal Assistance under all NIDRR programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

This application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I - Federal Assistance Application Face Page

Part II - Budget Information

Part III - Application Narrative

Part IV - Assurances, Certifications and Disclosures

Each submitted application should include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0634. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1820-0027, Washington, D.C. 20503.

PART I - FEDERAL ASSISTANCE FACE PAGE (424)

Application for Federal Education Assistance (ED 424)

U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | |

6. Novice Applicant ___ Yes ___ No

3. Applicant's T-I-N | | | | - | | | | | | | | | |

7. Is the applicant delinquent on any Federal debt? ___ Yes ___ No
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | |

Title: _____

8. Type of Applicant (Enter appropriate letter in the box.) | | | |

5. Project Director: _____

A - State
B - Local
C - Special District
D - Indian Tribe
E - Individual
F - Independent School District
G - Public College or University
H - Private, Non-profit College or University
I - Non-profit Organization
J - Private, Profit-Making Organization

Address: _____

K - Other (Specify): _____

City State Zip code + 4

Tel. #: () - Fax #: () -

E-Mail Address: _____

Application Information

9. Type of Submission:

-PreApplication *-Application*
___ Construction ___ Construction
___ Non-Construction ___ Non-Construction

12. Are any research activities involving human subjects planned at any time during the proposed project period?
___ Yes (Go to 12a.) ___ No (Go to item 13.)

10. Is application subject to review by Executive Order 12372 process?

___ Yes (Date made available to the Executive Order 12372 process for review): ___/___/___
___ No (If "No," check appropriate box below.)
___ Program is not covered by E.O. 12372.
___ Program has not been selected by State for review.

12a. Are all the research activities proposed designated to be exempt from the regulations?
___ Yes (Provide Exemption(s) #): _____
___ No (Provide Assurance #): _____

11. Proposed Project Dates: ___/___/___

Start Date:

End Date:

13. Descriptive Title of Applicant's Project:

Estimated Funding

14a. Federal \$. 00

b. Applicant \$. 00

c. State \$. 00

d. Local \$. 00

e. Other \$. 00

f. Program Income \$. 00

g. TOTAL \$. 00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: _____

c. Tel. #: () - Fax #: () -

d. E-Mail Address: _____

e. Signature of Authorized Representative

Date: ___/___/___

Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
 - 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
 - 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
 - 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
 - 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
 - 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
 - 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
 - 8. Type of Applicant.** Enter the appropriate letter in the box provided.
 - 9. Type of Submission.** See "Definitions for Form ED 424" attached.
 - 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
 - 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
 - 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
 - 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
 - 12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
 - 12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.
- Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail

address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3671, Washington, D.C. 20202-4725

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a

systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are

conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview

procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the

form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>

PART II - BUDGET INFORMATION



U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Control No. 1890--0004

Expiration Date: 10-31-03

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. This form is now undergoing OMB clearance and should be considered draft until a new valid OMB collection number is obtained. Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, DC 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington, DC 20503.

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program instructions if attached.

Section A – Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e):

For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f):

Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e):

Show the total budget request for each project year for which funding is requested.

Line 12, column (f):

Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B – Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e):

For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f):

Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e):

Show the total matching or other contribution for each project year.

Line 12, column (f):

Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C – Other Budget Information

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

PART III - ASSURANCES, CERTIFICATIONS, DISCLOSURES

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. . . 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. . . 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. . . 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. . . 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) . . 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. . . 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. . 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. . . 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. . . 276a to 276a-7), the Copeland Act (40 U.S.C. . 276c and 18 U.S.C. . . 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. . . 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. . . 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. . . 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. . . 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. . 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. . . 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. . . 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. . . 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, □Audits of States, Local Governments, and Non-Profit Organizations.□
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

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**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing,

possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs

(a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

NAME OF APPLICANT

PR/AWARD NUMBER AND / OR PROJECT NAME

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

SIGNATURE

DATE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ , without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

Approved by OMB
0348-0046

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

Type of Federal Action: a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	Status of Federal Action: a. bid/offer/application _____ b. initial award c. post-award	Report Type: a. initial filing _____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if Known: Congressional District, if known:		If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department/Agency:		7. Federal Program Name/Description: Federal Program Name/Description: CFDA Number, if applicable: _____
8. Federal Action Number, if known:		9. Award Amount, if known: Award Amount, if known: \$
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):		b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____
Federal Use Only		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information,

including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503



Survey on Ensuring Equal Opportunity FOR APPLICANTS

Do not enter information below unless instructed to do so.

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have? *(Check only one box).*

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

3. What is the size of the applicant's annual budget? *(Check only one box.)*

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No

Survey Instructions on Ensuring Equal Opportunity for Applicants

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

SECTION H

DUNS Number Instructions

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dbis/aboutdb/intlduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

SECTION I

APPLICATION CHECKLIST

Does your application include each of the following?

- ☐ Cover page (ED 424) marked appropriately
- ☐ Is the Topic in the Descriptive Title block#13?
- ☐ Budget form (ED form 524) dollar amounts not exceeding the maximum in any year
- ☐ Budget narrative for each year (MATH CHECKED)
- ☐ Program narrative, including abstract
- ☐ Assurances and Certifications [list]
- ☐ If submitting on e-application, did you download the correct file in the required field?
- ☐ Include eligibility information.
- ☐ Matching Information.

Did You --

- ☐ Mail or submit application on or before **September 4, 2003?**
- ☐ Provide one (1) original plus 2 copies of the application (One original and nine copies are requested)?
- ☐ Include all required forms with original signatures and dates?
- ☐ Mail* Application To: **OR** Hand deliver* Application To:

ATTN: 84.224C and title
U.S. Department of Education
Application Control Center
400 Maryland Avenue, SW
Washington, DC 20202-4725

ATTN: 84.224C and title
U.S. Department of Education
Application Control Center
7th & D Streets, SW, ROB#3, Room 3671
Washington, DC 20202-4725

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center
(202) 708-9493

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page <http://www.ed.gov/> (WWW address)